# Electronic Filing Instructions
# SEC/McAfee, Inc. (f/k/a Network Associates, Inc.) Fair Fund

**PLEASE READ:**

**ELECTRONIC FILING APPLIES TO BROKERS OR INSTITUTIONS THAT FILE CLAIMS ON BEHALF OF SEVERAL ACCOUNTS, OR CLASS MEMBERS WHO ARE FILING A CLAIM WITH A LARGE NUMBER OF TRANSACTIONS (100+).**

**IMPORTANT NOTE:**

**IF YOU FILED CLAIMS IN CONNECTION WITH THE PREVIOUS CLASS ACTION SETTLEMENT INVOLVING NETWORK ASSOCIATES, INC (N/K/A MCAFEE), THESE CLAIMS/ACCOUNTS WILL BE AUTOMATICALLY ELIGIBLE TO PARTICIPATE IN THE SEC/MCAFEE FAIR FUND TO THE EXTENT THEY WERE ELIGIBLE IN THE PRIOR SETTLEMENT AND SATISFY THE ELIGIBILITY CRITERIA OUTLINED IN THE NOTICE.**

**YOU DO NOT NEED TO TAKE ANY FURTHER ACTION TO PARTICIPATE IN THE $50 MILLION FAIR FUND BY SUBMITTING NEW FILES/DOCUMENTS FOR THESE CLAIMS UNLESS:**

**1. YOU HAVE ADDITIONAL (NEW) ACCOUNTS -** These new accounts should be submitted on a separate spreadsheet in accordance with the requirements outlined below.

**2. THE BEGINNING HOLDINGS OF A PREVIOUSLY FILED CLAIM ORIGINATED FROM TRANSACTION(S) BETWEEN 8/17/1998 AND 4/14/1999 -** The class period in the prior network associates settlement was April 14, 1999 through December 26, 2000 whereas here, the class period begins on august 17, 1998 and runs through December 26, 2000. These accounts must be included on a separate spreadsheet with claim numbers and revised trading activity to supersede the prior beginning holding position (documentation must also be submitted to verify any supplemental data).

## Electronic Filing Requirements

1. **Proof of Claim form (Master)**
   This claim form serves as a master Proof of Claim and Release form for one or all of the accounts included on your file.
   - You may obtain a Proof of Claim form by printing one from this website. Complete Section A (Claimant Information) on page 2 of the Proof of Claim form including the Daytime/Evening Telephone Number and E-mail address. Be sure to include company name, account name/number, and company address. If submitting an electronic file on behalf of several accounts, enter “Various Accounts” for the account name/number.
   - Read Release language and sign Release on Page 4 of Proof of Claim form.
     - The signature on the claim form must reference the capacity of the signatory.
   - **If filing on behalf of your clients, you must include a signed letter on letterhead or other document providing your authorization to file/sign on behalf of your clients (affidavit, power of attorney, trust agreements, etc.)**

2. **Signature Verification Document**
   This is a document verifying that the individual who signed the claim form and any supplemental letters is authorized to sign on behalf of his/her company.
   - Some examples may include a copy of your company's By-laws (including signature pages), a copy of your company's corporate resolution (including signature pages), secretary’s certificate, certificate of incumbency, or a notarized affidavit signed by an officer of your institution clearly granting a specific individual(s) authorization to act / sign on behalf of your company.

3. **Excel spreadsheet or other electronic file containing account information and transactional data that MUST be created in accordance with our required filing format.**
    - The required filing format for this case is provided below.
    - **YOUR ELECTRONIC FILE IS SUBJECT TO REJECTION, IF NOT IN ACCORDANCE WITH OUR REQUIRED FILING FORMAT.**

4. **Hard copy supporting documentation.**
    - You must submit paper documents with your Proof of Claim form that will support the transactions provided on your file. These documents may include: a) broker confirmations, b) monthly statements, or c) an affidavit or signed letter on firm letterhead attesting to the truth and accuracy of the information on your file (signature must reference the capacity and contact information for the signatory).
    - We reserve the right to request additional documentation at any time after your file has been received and loaded.

5. **Control Totals**
    - You must include an indication of the total number of distinct accounts/claims and total number of transactions (including holdings) on your file. You may include this information in the form of a signed letter or use the Electronic filing Cover Sheet at the end of this document.

## Please read the following prior to generating your file:

- **Files may be submitted as a Fixed-length text file (preferred) or an Excel spreadsheet**
- **All fields in the below format must be included on your file**
- **Any fields that do not apply to your file or the case must be left blank (do not delete any fields)**
- **Your file must be sorted in the following order:**
    - **account number**
    - **security identifier**
    - **transaction type**
- **If your file contains over 64,000 rows, you must submit the file as a fixed-length text file**
- **Do not exceed maximum character lengths for any field**
- **Your file cannot include transactions outside of the relative trade period for the specific case (see Schedule of Transaction pages of Proof of Claim form for trade periods)**
- **Do not provide any blank rows on your file**
- **A separate claim will be created for each distinct account number on your file**
- **Any files not in accordance with the below format are subject to rejection**

- **For Fixed Length Text File (must use .txt extension):**
    - **Your file must contain only data rows (do not include header/trailer records)**

- **For Excel spreadsheets (must use .xls extension):**
    - **Your file must include one tab with all account and transactional data**
    - **Your file must include one header row with column headings**
    - **The "Length" column in the below format specifies the maximum number of characters for each Excel field**

## Required Filing Format

| Col | Field | Start Position | Length | Notes |
|---|---|---|---|---|
| A | Company Name | 1 | 40 | Name of Company for Mailing of Checks (see Address Notes below)<br>• Include a "c/o" before your company name if you require checks made out to the beneficial owner c/o your company |
| B | Address 1 | 41 | 40 | Address1 Information for Mailing of Checks (see Address Notes below) |
| C | Address 2 | 81 | 40 | Address2 Information for Mailing of Checks (see Address Notes below) |
| D | City | 121 | 30 | City for Mailing of Checks (see Address Notes below) |
| E | State | 151 | 2 | 2 Character State Abbreviation for Mailing of Checks (see Address Notes below) |
| F | Zip5 | 153 | 5 | 5 Digit Zip for Mailing of Checks (see Address Notes below) |
| G | Zip4 | 158 | 4 | 4 Digit Zip for Mailing of Checks (see Address Notes below) |
| H | Country Code | 162 | 2 | 2 character Country abbreviation (**only** for foreign addresses) |
| I | Customer Acct Name | 164 | 40 | Name of Account / Beneficial Owner |
| J | Customer Acct Number | 204 | 30 | Account Number |
| K | SSN or Tax ID Number | 234 | 4 | **Format 9999**<br>Last four digits of Social Security Number or Tax ID Number (leave column blank for foreign entities);<br>NO Dashes;<br>NO Spaces |
| L | Security Identifier Number | 238 | 14 | CUSIP, ISIN, or SEDOL Number of the Security (except for options).<br>• DO NOT include any spaces in your CUSIP, ISIN, or SEDOL Number |
| M | Transaction Type | 252 | 2 | **B** = Beginning Holdings (see case notes below)<br>**P** = Purchase (see case notes below)<br>**S** = Sale (see case notes below)<br>**U** = Ending/Unsold Holdings (see case notes below)<br>**R** = Free Receipt / Transfer In of Shares (see transfer notes below)<br>**D** = Free Deliver / Transfer Out of Shares (see transfer notes below)<br><br>NOTE: When inputting beginning or unsold holdings, the trade date column must indicate the holding date (beginning/end of Class Period), and the price per share and net amount columns must be left blank. |
| N | Trade Date | 254 | 10 | Trade date in **MM/DD/YYYY** format (including foreign entities) |
| O | Quantity | 264 | 20 | **Format 999999999999999.0000**<br>Number of shares associated with this transaction (this value can ONLY be negative for short beginning/ending holdings positions and must be formatted with a negative symbol such as **-99999999999999.0000**);<br>NO commas (,);<br>Enter Decimal Point and 4 positions after the decimal point; |

## Case Specific Instructions

- Please provide all purchases and sales from 8/17/1998 through and including 12/26/2000.
    - NO prices or net amounts should be given for transactions (only trade dates and quantities)
- Beginning Holdings are as of the close of trading on 8/14/1998.
- Ending Holdings are as of the close of trading on 12/26/2000.

## Address Notes

- For foreign addresses, the two character country code must be provided in column H, all address information (including full country names and provinces) must be included in the two address fields (columns B-C), and the city, state, zip fields (columns D-G) must be left blank.

## Claim Balance Notes

- All securities for each account must balance. This means that the beginning holdings plus total purchases (including free receives) during the Class Period MUST EQUAL the total sales (including free delivers) during the Class Period plus the ending/unsold holdings.
    - Transaction types on your file must balance as follows:
        - **B+P+R = S+D+U**

- Negative values may **only** be given for short beginning holdings (transaction type "B") and short ending/unsold holdings (transaction type "U"). All other transactions must reflect positive values.

## Securities Notes

- Each eligible security **must** reference an appropriate security identifier in column L of your file:
    - CUSIP, ISIN, or SEDOL number
        - DO NOT include any spaces in your CUSIP, ISIN, or SEDOL Number

## Transfer Notes

Free receive/free deliver (transfer in/out) transactions are not eligible for payment unless you have additional information regarding the original purchase from the prior account or the ultimate sale or ending holdings from the subsequent account. If you do not have this information, these types of transactions should be included on your file for **balancing purposes only**.

You MUST use the following instructions when filing for accounts that have free receive/free deliver (transfer in/out) transactions during the Class Period:

- **If shares were transferred to or from a different institution (corresponding account is not on your electronic file), you MUST follow these instructions:**
    - Shares Received into Account – You must account for any received shares by providing the beginning holdings or original purchase of these shares from the prior account.
    - Shares Delivered out of Account – You must account for any delivered shares by providing the sale(s) and/or ending holdings from the subsequent account.
    - No Information Available on Original Purchase/Subsequent Sale - You must provide the receive/deliver transactions in their respective claim(s) for **balancing purposes only**. A free receive or transfer in must be reflected as a transaction type "R" and a free deliver or transfer out must be reflected as a transaction type "D" (prices and net amounts must be zero). THESE TRANSACTIONS WILL NOT BE CONSIDERED ELIGIBLE AND WILL BE EXCLUDED FROM THE CALCULATION OF YOUR CLAIM.

- **If shares were transferred between accounts on your file, you MUST follow these instructions:**
    - DO NOT claim the same purchase or sale transactions on both accounts.

- The account that owned the shares most recently should be the account claiming the eligible purchase. These shares should already be accounted for in the sales and/or ending holdings of the most recent account.

- If shares were transferred between accounts for the same beneficial owner on your file, you must combine these accounts and file all eligible purchases and sales with the most recent account name and number. You must also include all beginning and ending holdings on the most recent account name and number.

- If you are unable to combine these accounts accordingly, you must provide the receive/deliver transactions in their respective claim(s) for **balancing purposes only**. A free receive or transfer in must be reflected as a transaction type "R" and a free deliver or transfer out must be reflected as a transaction type "D" (prices and net amounts must be zero). THESE TRANSACTIONS WILL NOT BE CONSIDERED ELIGIBLE AND WILL BE EXCLUDED FROM THE CALCULATION OF YOUR CLAIM.

## Submission Notes

- We prefer to receive your electronic claim submission on a diskette or CD ROM in the mail along with all other documentation requirements outlined in these instructions. Pleas use the P.O. Box address on top of page 1 of the claim form to the attention of the Electronic Filing Department. If you need to send your file via fed-ex or UPS, you may use the below street address:

SEC/McAfee, Inc. Fair Fund
c/o The Garden City Group, Inc.
Attn: Electronic Filing Department
5151 Blazer Parkway, Suite A
Dublin, OH 43017

- If you need to email your file, it may be sent to eClaim@gardencitygroup.com but you must also attach your documentation requirements in the email as .pdf documents or equivalent.

# Electronic Filing Cover Sheet

NAME OF LITIGATION: **SEC/McAfee, Inc. Fair Fund**

FILE SUBMITTED BY:

Company Name _____

Company Address _____
_____
_____

Contact Name _____

Phone Number _____

E-Mail Address _____

FILE SUBMITTED AS: ☐ Disk / CD ROM (PREFERRED)

☐ E-Mailed File

TOTAL # OF ACCOUNTS ON FILE: _____

TOTAL # OF LINES ON FILE: _____

**Note**

**We prefer to receive your electronic claim submission on a diskette or CD ROM in the mail along with all other documentation requirements outlined in these instructions. Pleas use the P.O. Box address on top of page 1 of the claim form to the attention of the Electronic Filing Department. If you need to send your file via fed-ex or UPS, you may use the below street address:**

**SEC/McAfee, Inc. Fair Fund**
**c/o The Garden City Group, Inc.**
**Attn: Electronic Filing Department**
**5151 Blazer Parkway, Suite A**
**Dublin, OH 43017**